



## Trademark/Service Mark Application, Principal Register

Serial Number: 78898375

Filing Date: 06/01/2006

The table below presents the data as entered.

Input Field	Entered
<b>MARK SECTION</b>	
MARK	RODMAN & RENSHAW
STANDARD CHARACTERS	YES
USPTO-GENERATED IMAGE	YES
LITERAL ELEMENT	RODMAN & RENSHAW
MARK STATEMENT	The mark consists of standard characters, without claim to any particular font, style, size, or color.
<b>OWNER SECTION</b>	
NAME	RODMAN & RENSHAW, LLC
INTERNAL ADDRESS	16th Floor
STREET	1270 Avenue of the Americas
CITY	New York
STATE	New York
ZIP/POSTAL CODE	10020
COUNTRY	United States
PHONE	212-356-0500
FAX	212-581-5690
EMAIL	tmddocket@oblon.com
AUTHORIZED EMAIL COMMUNICATION	Yes
<b>LEGAL ENTITY SECTION</b>	
TYPE	LIMITED LIABILITY COMPANY
STATE/COUNTRY UNDER WHICH ORGANIZED	Delaware
<b>GOODS AND/OR SERVICES SECTION</b>	
INTERNATIONAL CLASS	036
DESCRIPTION	arranging and conducting business conferences; investment banking services; brokerage of shares or stocks and other securities; financial investment in the field of securities; financial services, namely assisting others with the completion of financial transactions for stocks, bonds, securities and equities; financial services, namely merchant banking services; consulting services in the field of corporate finance; consulting services in the field of business mergers and acquisitions

FILING BASIS	Section 1(b)
<b>PAYMENT SECTION</b>	
NUMBER OF CLASSES	1
NUMBER OF CLASSES PAID	1
SUBTOTAL AMOUNT	325
TOTAL AMOUNT	325
PAYMENT METHOD	RAM
<b>ATTORNEY</b>	
NAME	Brian B. Darville
FIRM NAME	OBLON, SPIVAK, MCCLELLAND, MAIER & NEUSTADT, P.C.
STREET	1940 Duke Street
CITY	Alexandria
STATE	Virginia
ZIP/POSTAL CODE	22314
COUNTRY	United States
PHONE	703-412-6426
FAX	703-413-2220
EMAIL	timdocket@oblon.com
AUTHORIZED EMAIL COMMUNICATION	Yes
ATTORNEY DOCKET NUMBER	292173US43
<b>CORRESPONDENCE SECTION</b>	
NAME	Brian B. Darville
FIRM NAME	OBLON, SPIVAK, MCCLELLAND, MAIER & NEUSTADT, P.C.
STREET	1940 Duke Street
CITY	Alexandria
STATE	Virginia
ZIP/POSTAL CODE	22314
COUNTRY	United States
PHONE	703-412-6426
FAX	703-413-2220
EMAIL	timdocket@oblon.com
AUTHORIZED EMAIL COMMUNICATION	Yes
<b>FILING INFORMATION</b>	
SUBMIT DATE	Thu Jun 01 10:30:11 EDT 2006

TEAS STAMP

USPTO/BAS-125812811-20060  
601103011701224-78898375-  
20042a1b4fa23809310cdb395  
da53bb8a49-RAM-000-200606  
01160723721698

## Trademark/Service Mark Application, Principal Register

Serial Number: 78898375

Filing Date: 06/01/2006

To the Commissioner for Trademarks:

MARK: (Standard Characters, see mark)

The mark consists of standard characters, without claim to any particular font, style, size, or color.

The literal element of the mark consists of RODMAN &amp; RENSHAW.

The applicant, RODMAN & RENSHAW, LLC, a limited liability company organized under the laws of Delaware, residing at 16th Floor, 1270 Avenue of the Americas, New York, New York, United States, 10020, requests registration of the trademark/service mark identified above in the United States Patent and Trademark Office on the Principal Register established by the Act of July 5, 1946 (15 U.S.C. Section 1051 et seq.), as amended.

Intent to Use: The applicant has a bona fide intention to use or use through the applicant's related company or licensee the mark in commerce on or in connection with the identified goods and/or services. (15 U.S.C. Section 1051(b)).

International Class 036: arranging and conducting business conferences; investment banking services; brokerage of shares or stocks and other securities; financial investment in the field of securities; financial services, namely assisting others with the completion of financial transactions for stocks, bonds, securities and equities; financial services, namely merchant banking services; consulting services in the field of corporate finance; consulting services in the field of business mergers and acquisitions

The applicant hereby appoints Brian B. Darville of OBLON, SPIVAK, MCCLELLAND, MAIER & NEUSTADT, P.C., 1940 Duke Street, Alexandria, Virginia, United States, 22314 to submit this application on behalf of the applicant. The attorney docket/reference number is 292173US43.

The USPTO is authorized to communicate with the applicant or its representative at the following email address: [tmddocket@oblon.com](mailto:tmddocket@oblon.com).

A fee payment in the amount of \$325 will be submitted with the application, representing payment for 1 class(es).

## Declaration

The undersigned, being hereby warned that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. Section 1001, and that such willful false statements, and the like, may jeopardize the validity of the application or any resulting registration, declares that he/she is properly authorized to execute this application on behalf of the applicant; he/she believes the applicant to be the owner of the trademark/service mark sought to be registered, or, if the application is being filed under 15 U.S.C. Section 1051(b), he/she believes applicant to be entitled to use such mark in commerce; to the best of his/her knowledge and belief no other person, firm, corporation, or association has the right to use the mark in commerce, either in the identical form thereof or in such near resemblance thereto as to be likely, when used on or in connection with the goods/services of such other person, to cause confusion, or to cause mistake, or to deceive; and that all statements made of his/her own knowledge are true; and that all statements made on information and belief are believed to be true.

Mailing Address:

Brian B. Darville  
1940 Duke Street  
Alexandria, Virginia 22314

RAM Sale Number: 000

RAM Accounting Date: 06/01/2006

Serial Number: 78898375

Internet Transmission Date: Thu Jun 01 10:30:11 EDT 2006

TEAS Stamp: USPTO/BAS-125812811-20060601103011701224

-78898375-20042a1b4fa23809310cdb395da53b

b8a49-RAM-000-20060601160723721698

RODMAN & RENSHAW

Exhibit B

Clark & Rodman

Rodman & Renshaw Rodman & Renshaw Rodman & Renshaw

## Rodman's Action Against a Research Analyst

This web site seeks to encourage the partners of Rodman & Renshaw (Edward Rubin, John Borner, and Michael Vasilkevich) to acknowledge that their Director of Research (Michael King) acted improperly in denying a senior analyst his request to lower his research rating on an investment banking client. Rodman has acknowledged that they are currently being investigated by the Securities and Exchange Committee regarding this incident. This case has been the subject an NY Times article by Pulitzer Prize Winning journalist Gretchen Morgenson. While the analyst believes that evidence cited below clearly suggests violations of NASD 2711, SEC Regulation AC and the spirit of Sarbanes-Oxley, the partners of Rodman have maintained that broker-dealers control the ratings on stocks (not the analyst) and that they may fire an employee for any reason.

### Key Events:

2/24/06 Rodman analyst tries to downgrade his rating on a investment banking client because it's stock price has reached the published target price.  
 2/25/06 Director of Research emails analyst to suggest he "Tnesse" the target price rather than lower the investment rating.  
 2/27/06 Analyst attempts to get around Director of Research by emailing the report to members of Rodman's Investment Review Committee (IRC).  
 2/27/06 Director of Research sends a second email to the analyst in which he refuses to allow the report to even be reviewed by the IRC.  
 2/28/06 Analyst sends a first email and then a second email to the Head of Compliance asking to have his name removed from coverage of the stock.  
 3/2/06 Rodman emails its employees announcing that analyst who tried to downgrade the banking client is being removed from the Research Department.  
 3/9/06 Analyst tells minority and majority staff of US Senate Finance Committee about Rodman's actions and provides copies of emails.  
 3/14/06 Rodman sends analyst an email notification that his employment has been terminated with no written explanation for cause.  
 3/15/06 Analyst recontacts Finance Committee staff and says Rodman told him verbally that he was fired for reporting matter to Congress.  
 3/15/06 Analyst receives call from lawyer in the enforcement division of the Securities and Exchange Commission.





# Rodman & Renshaw Rodman & Renshaw Rodman & Renshaw

## Rodman's Action Against a Research Analyst

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# Rodman & Renshaw Rodman & Renshaw Rodman & Renshaw

## Rodman's Action Against a Research Analyst

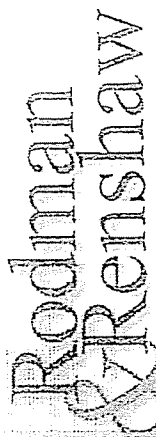
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Exhibit E





Serving Emerging Growth Sectors For Over 50 Years

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## About Us

### Serving Emerging Growth Stocks For Over 50 Years

Since 1951, Rodman & Renshaw has been dedicated to serving the needs of companies in emerging growth sectors and the investors that seek value in these companies. Although the sector is not new, companies have changed over the last five decades, the markets for emerging growth companies remain constant... companies with solid, market-leading innovations and cutting edge expertise. The leaders of these companies recognize the challenges and understand the particular challenges they face and who have the experience, knowledge, and expertise to provide effective solutions to their many intricate investments.

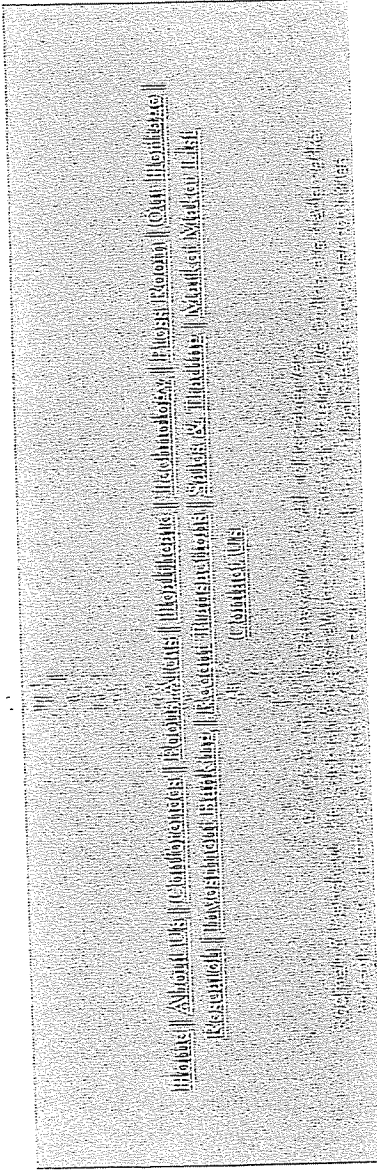
For over 50 years, Rodman & Renshaw has experienced the various cycles of the financial markets, and has guided its clients through these fluctuating conditions. Today, we are actively held, full-service investment bank with a dedicated team of professionals focused exclusively on emerging growth companies. We provide a full range of services including equity research, corporate finance, and institutional sales & trading.

(See our heritage)

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[Healthcare](#)
[Technology](#)
[Press Room](#)
[Our Heritage](#)
[Research](#)
[Investment Banking](#)
[Recent Transactions](#)
[Sales & Trading](#)
[Market Maker List](#)
[Contact Us](#)

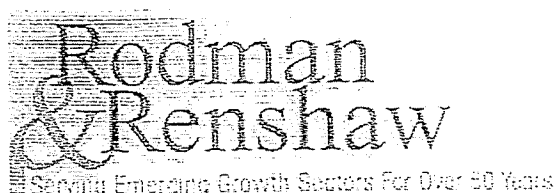

Rodman & Renchaw

# Business Continuity Plan









SILLER WILK LLP

## Allegation That Siller Wilk is Using NASD For

This web site has been created to draw attention from the legal community to an tactic suggest use against an analyst that was fired following his attempt to downgrade an investment banki involved in the case, with links to the supporting documents and emails that have been pr Securities and Exchange Committee, NASD Market Enforcement, Association for Investment of Research Analysts and the New York Attorney General's Office. The evidence cited below trying to exercise his rights as a research analyst according to NASD 2711, SEC Regulati mention was made of cause of action on the employee's termination letter and the Director of ( no mark would be made on his Form U-5 which is kept by the NASD as a reference document became the subject of a NY Times article by Pulitzer Prize Winning journalist Gretchen statement on his U-5 claiming that it had begun an investigation a month ealier. However, no been made since then. Furthermore, despite repeated requests by the analyst for a statement f some evidence be given about the existance of an investigation, the analyst has not been con bottom of this page, we allow a forum for you, the reader, to add your opinions on Rodman's Chairman.

### Key Events

- 2/24/06 Rodman analyst tries to downgrade his rating on a investment banking client because price.
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- 3/14/06 Rodman sends analyst an email notification that his employment has been terminated
- 3/15/06 Analyst recontacts Finance Committee staff and says Rodman told him verbally that l
- 3/15/06 Analyst receives call from lawyer in the enforcement division of the Securities and E
- 4/9/06 New York Times Pulitzer Prize journalist Gretchen Morgenson writes an article that
- 4/12/06 Rodman files a statement of analysts form U-5 claiming that it had begun an investig; been contacted about the investigation.

### Comments



<http://www.jayauslander.com/>

Email

Name

Comment

Comments

displaying of N comments

Enter your comment

Exhibit G

Jessica Taran

---

From: michael king [nationalwhistleblowers@yahoo.com]  
Sent: Wednesday, September 13, 2006 11:46 AM  
To: John Borer  
Cc: mv; E Rubin  
Subject: Please visit [www.johnborer.com](http://www.johnborer.com)

---

Get your email and more, right on the [new Yahoo.com](http://new.yahoo.com)

10/4/2006

Exhibit H

Jessica Taran

---

From: michael king [nationalwhistleblowers@yahoo.com]

Sent: Wednesday, September 13, 2006 11:49 AM

To: E Rubin

Cc: mv; John Borer

Subject: Please visit [www.edwardrubin.com](http://www.edwardrubin.com)

---

How low will we go? Check out Yahoo! Messenger's low [PC-to-Phone call rates](#).

10/4/2006



Jessica Taran

---

From: michael king [nationalwhistleblowers@yahoo.com]  
Sent: Wednesday, September 13, 2006 5:12 PM  
To: E Rubin; mv; John Borer  
Subject: Survey on Rodman's Actions Against a Research Analyst

Please respond with suggested changes to the web sites emailed to you earlier today within one week. After that date, we intend to put the sites back on the web and conduct a survey of Wall Street professionals on whether your actions constitute acceptable conduct or unethical behavior.

Webmaster

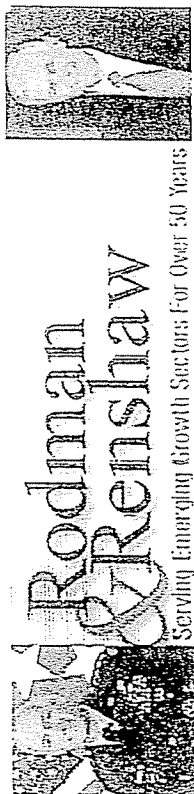
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Yahoo! Messenger with Voice. Make PC-to-Phone Calls to the US (and 30+ countries) for 2¢/min or less.

10/4/2006

Exhibit J





## Open Letter to General Clark - Chairman of Rodman & Renshaw

This web site has been created to respectfully encourage General Wesley Clark to fulfill his fiduciary duty as Rodman's Chairman in regards to the punishment of a research analyst for trying to downgrade his investment rating on one of Rodman's banking client. Shown below are the series of events involved in the case, with links to the supporting documents and emails that have been provided to the Senate Finance Committee, the Securities and Exchange Committee, NASD Market Enforcement, Association for Investment Management and Research, New York Society of Research Analysts and the New York Attorney General's Office. While the evidence cited below clearly suggests violations of NASD 2711 and SEC Regulation AC, General Clark has so far failed to take disciplinary action against any of the partners or officers of Rodman and Renshaw that were involved in this matter.

### Key Events

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Case No. 06 CV 8210 (WHP)  
UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

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RODMAN & RENSHAW, LLC,  
JOHN BORER, EDWARD RUBIN, MICHAEL  
VASINKEVICH and WESLEY K. CLARK,

Plaintiffs,

- against -

MATTHEW N. MURRAY,

Defendant.

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SUMMONS & COMPLAINT

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SILLER WILK LLP  
Attorneys for Plaintiff  
*Rodman & Renshaw, LLC, John Borer, Edward  
Rubin, Michael Vasinkevich, and Wesley K. Clark*  
675 Third Avenue  
New York, New York 10017-5704  
(212) 421-2233